

#4

**PATENT APPLICATION**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of

Tatsuya SHIMODA et al.

Application No.: 09/892,872

Filed: June 28, 2001

Attn: Box Missing Parts

Docket No.: 109975

For: FERROELECTRIC MEMORY AND METHOD OF FABRICATING THE SAME



**RESPONSE TO NOTICE TO FILE MISSING PARTS  
WITH DECLARATION AND TRANSLATION**

Director of the U.S. Patent and Trademark Office  
Washington, D.C. 20231

Sir:

In response to the Notice to File Missing Parts of Application - Filing Date Granted (copy attached) mailed on August 16, 2001, submitted herewith are the executed Declaration of the inventor(s) and, upon information and belief, an accurate translation of the application. Any specification attached to and referenced in the Declaration is a copy of the specification and any amendments thereto which were filed in the Office in order to obtain a filing date for the application.

10/17/2001 BSAYAS11 00000046 09892872

01 FC:102  
02 FC:103

924.00 OP  
90.00 OP  
(Column 1)

(Column 2)

(Column 3)

SMALL ENTITY

OTHER THAN A  
SMALL ENTITY

	CLAIMS REMAINING AFTER TRANSLATION	HIGHEST NO. PREVIOUSLY PAID FOR	PRESENT EXTRA
TOTAL CLAIMS	*25 MINUS	**20	= 5
INDEP CLAIMS	*14 MINUS	***3	=11
<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEP. CLAIM			

RATE	ADD'L FEE
x 9	\$
x 42	\$
+ 140	\$
	\$

OR

RATE	ADD'L FEE
x 18	\$ 90
x 84	\$ 924
+280	\$ 0
	\$ 1014

OR

\* If the entry in Column 1 is less than the entry in Column 2, write "0" in Column 3.

\*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, write "20" in this space.

\*\*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, write "3" in this space.

The "Highest Number Previously Paid For" in this space (Total or Independent) is the highest number found from the equivalent box in Column 1 of a prior Amendment or the number of claims originally filed.

Check No. 123916 in the amount of \$1014.00 is attached. The Director is hereby authorized to charge any other fees that may be required to complete this filing, or to credit any overpayment, to Deposit Account No. 15-0461. Two duplicate copies of this sheet are attached.

Attached is our Check No. 123914 for ☒\$260.00 ☐\$195.00 (entitlement to small entity status is asserted) for the fee under 37 C.F.R. §1.16(e) and §1.17(k).

Submitted herewith are 15 sheets of formal drawings (Figs 1-26C) in compliance with 37 C.F.R. 1.84.

Entry of these documents should complete all of the filing formalities and fully satisfy all requirements of the Notice to File Missing Parts. Examination and allowance of this application in due course are respectfully solicited.

The Director is hereby authorized to charge any additional fee (or credit any overpayment) associated with this communication to Deposit Account No. 15-0461. Two duplicate copies of this paper are attached.

Respectfully submitted,



James A. Oliff  
Registration No. 27,075

Eric D. Morehouse  
Registration No. 38,565

JAO:EDM/gam

Date: October 16, 2001

**OLIFF & BERRIDGE, PLC**  
**P.O. Box 19928**  
**Alexandria, Virginia 22320**  
**Telephone: (703) 836-6400**

<p>DEPOSIT ACCOUNT USE AUTHORIZATION Please grant any extension necessary for entry; Charge any fee due to our Deposit Account No. 15-0461</p>
--

**PATENT APPLICATION**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of

Tatsuya SHIMODA et al.

Application No.: 09/892,872

Filed: June 28, 2001

Attn: Box Missing Parts

Docket No.: 109975

For: FERROELECTRIC MEMORY AND METHOD OF FABRICATING THE SAME



**RESPONSE TO NOTICE TO FILE MISSING PARTS  
WITH DECLARATION AND TRANSLATION**

Director of the U.S. Patent and Trademark Office  
Washington, D.C. 20231

Sir:

In response to the Notice to File Missing Parts of Application - Filing Date Granted (copy attached) mailed on August 16, 2001, submitted herewith are the executed Declaration of the inventor(s) and, upon information and belief, an accurate translation of the application. Any specification attached to and referenced in the Declaration is a copy of the specification and any amendments thereto which were filed in the Office in order to obtain a filing date for the application.

	(Column 1)	(Column 2)	(Column 3)	SMALL ENTITY			OTHER THAN A SMALL ENTITY	
	CLAIMS REMAINING AFTER TRANSLATION	HIGHEST NO. PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE	ADD'L FEE	OR	RATE	ADD'L FEE
TOTAL CLAIMS	*25 MINUS	**20	= 5	x 9	\$		x 18	\$ 90
INDEP CLAIMS	*14 MINUS	***3	=11	x 42	\$		x 84	\$ 924
<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEP. CLAIM				+140	\$	OR	+280	\$ 0
					\$			\$ 1014

\* If the entry in Column 1 is less than the entry in Column 2, write "0" in Column 3.

\*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, write "20" in this space.

\*\*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, write "3" in this space.

The "Highest Number Previously Paid For" in this space (Total or Independent) is the highest number found from the equivalent box in Column 1 of a prior Amendment or the number of claims originally filed.

Check No. 123916 in the amount of \$1014.00 is attached. The Director is hereby authorized to charge any other fees that may be required to complete this filing, or to credit any overpayment, to Deposit Account No. 15-0461. Two duplicate copies of this sheet are attached.

09892872 "101601

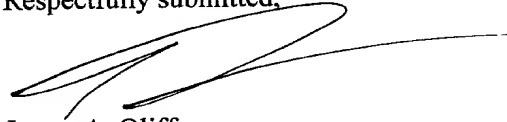
Attached is our Check No. 123914 for ☒\$260.00 ☐\$195.00 (entitlement to small entity status is asserted) for the fee under 37 C.F.R. §1.16(e) and §1.17(k).

Submitted herewith are 15 sheets of formal drawings (Figs 1-26C) in compliance with 37 C.F.R. 1.84.

Entry of these documents should complete all of the filing formalities and fully satisfy all requirements of the Notice to File Missing Parts. Examination and allowance of this application in due course are respectfully solicited.

The Director is hereby authorized to charge any additional fee (or credit any overpayment) associated with this communication to Deposit Account No. 15-0461. Two duplicate copies of this paper are attached.

Respectfully submitted,



James A. Oliff  
Registration No. 27,075

Eric D. Morehouse  
Registration No. 38,565

JAO:EDM/gam

Date: October 16, 2001

**OLIFF & BERRIDGE, PLC**  
**P.O. Box 19928**  
**Alexandria, Virginia 22320**  
**Telephone: (703) 836-6400**

<p><b>DEPOSIT ACCOUNT USE AUTHORIZATION</b> Please grant any extension necessary for entry; Charge any fee due to our Deposit Account No. 15-0461</p>
---

**PATENT APPLICATION**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of  
Tatsuya SHIMODA et al.

Application No.: 09/892,872

Filed: June 28, 2001

Attn: Box Missing Parts

Docket No.: 109975

For: FERROELECTRIC MEMORY AND METHOD OF FABRICATING THE SAME

**RESPONSE TO NOTICE TO FILE MISSING PARTS  
WITH DECLARATION AND TRANSLATION**

Director of the U.S. Patent and Trademark Office  
Washington, D.C. 20231

Sir:

In response to the Notice to File Missing Parts of Application - Filing Date Granted (copy attached) mailed on August 16, 2001, submitted herewith are the executed Declaration of the inventor(s) and, upon information and belief, an accurate translation of the application. Any specification attached to and referenced in the Declaration is a copy of the specification and any amendments thereto which were filed in the Office in order to obtain a filing date for the application.

	(Column 1)	(Column 2)	(Column 3)	SMALL ENTITY		OTHER THAN A SMALL ENTITY		
	CLAIMS REMAINING AFTER TRANSLATION	HIGHEST NO. PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE	ADD'L FEE	OR	RATE	ADD'L FEE
TOTAL CLAIMS	*25 MINUS	**20	= 5	x 9	\$	OR	x 18	\$ 90
INDEP CLAIMS	*14 MINUS	***3	=11	x 42	\$		x 84	\$ 924
<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEP. CLAIM				+140	\$	OR	+280	\$ 0
					\$			\$ 1014

\* If the entry in Column 1 is less than the entry in Column 2, write "0" in Column 3.

\*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, write "20" in this space.

\*\*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, write "3" in this space.

The "Highest Number Previously Paid For" in this space (Total or Independent) is the highest number found from the equivalent box in Column 1 of a prior Amendment or the number of claims originally filed.

Check No. 123916 in the amount of \$1014.00 is attached. The Director is hereby authorized to charge any other fees that may be required to complete this filing, or to credit any overpayment, to Deposit Account No. 15-0461. Two duplicate copies of this sheet are attached.

Attached is our Check No. 123914 for ☒\$260.00 ☐\$195.00 (entitlement to small entity status is asserted) for the fee under 37 C.F.R. §1.16(e) and §1.17(k).

Submitted herewith are 15 sheets of formal drawings (Figs 1-26C) in compliance with 37 C.F.R. 1.84.

Entry of these documents should complete all of the filing formalities and fully satisfy all requirements of the Notice to File Missing Parts. Examination and allowance of this application in due course are respectfully solicited.

The Director is hereby authorized to charge any additional fee (or credit any overpayment) associated with this communication to Deposit Account No. 15-0461. Two duplicate copies of this paper are attached.

Respectfully submitted,



James A. Oliff  
Registration No. 27,075

Eric D. Morehouse  
Registration No. 38,565

JAO:EDM/gam

Date: October 16, 2001

**OLIFF & BERRIDGE, PLC**  
**P.O. Box 19928**  
**Alexandria, Virginia 22320**  
**Telephone: (703) 836-6400**

**DEPOSIT ACCOUNT USE  
AUTHORIZATION**

Please grant any extension  
necessary for entry;  
Charge any fee due to our  
Deposit Account No. 15-0461



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D. C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/892,872	06/28/2001	Tatsuya Shimoda	109975

25944  
OLIFF & BERRIDGE, PLC  
277 S. WASHINGTON STREET, SUITE 500  
ALEXANDRIA, VA 22314

CONFIRMATION NO. 3054

## FORMALITIES LETTER



\*OC00000006433851\*

Date Mailed: 08/16/2001



## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The application was filed in a language other than English. Applicant is required to provide an English translation of the specification and a statement that the translation is accurate. (See 37 CFR 1.52(d)).
- Applicant must file an English translation of the application, the \$ 130 fee set forth in 37 CFR 1.17(i), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).
- **The balance due by applicant is \$ 260.**
- Because your specification was filed in a language other than English, the Office was unable to determine the number of claims submitted. Additional claim fees may be due once the number of claims can be determined.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing figures contain text that is not in English (including, for example, a flow chart that was originally not in English that has been marked up to include the English text) see 37 CFR 1.84(p)(2) and 37 CFR 1.52(d)(1);

10/17/2001 BSAYASII 00000046 09892872

03 FC:105 130.00 BP  
04 FC:139 130.00 OP

09892872-101601

*A copy of this notice MUST be returned with the reply.*

H.T

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

0989237-101601  
F09107 2/22/85



DECLARATION FOR TRANSLATION



I, Michie Fuse-Ofuchi , a Patent Attorney, of Ogikubo TM Bldg., 5-26-13, Ogikubo, Suginami-ku, Tokyo 167-0051, Japan, do solemnly and sincerely declare:

That I have a thorough knowledge of Japanese and English languages; and

That the attached pages contain a correct translation into English of the Japanese document filed on June 28, 2001 as

U.S. Patent Application No. 09/892,872

entitled "FERROELECTRIC MEMORY AND METHOD OF FABRICATING THE SAME"

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine and/or imprisonment under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing therefrom.

Date: October 9, 2001

Michie Fuse-Ofuchi

09892872-101501